DOCUMENT RESUME

ED 141 919 EA 009 731

TITLE	A School Improvement-Accountability Process Kit. PAK No. 4.1--Understanding the Change Process--Strategies for Managing Change.
INSTITUTION	Colorado State Dept. of Education, Denver. District Planning and Accountability Services.
PUB DATE	75
NOTE	26p.; For related documents, see EA 009 716-736
AVAILABLE FROM	Accreditation and Accountability Service, Colorado Department of Education, 201 East Colfax, Denver, Colorado 80203 ($2.00)
EDRS PRICE	MF-$0.83 HC-$2.06 Plus Postage.
DESCRIPTORS	Administrative Personnel; Advisory Committees; *Change Agents; *Change Strategies; Community Involvement; *Educational Change; Educational Innovation; Elementary Secondary Education; Guidelines; Inservice Programs; Instructional Materials; Management; Power Structure; Workshops
IDENTIFIERS	*Linking Agents

ABSTRACT

This Personalized Activity Kit is concerned with managing change in the schools. A six-stage procedure for managing change is outlined--building a trust relationship between the client and the agent of change, diagnosing the problem, acquiring relevant resources, choosing the solution, gaining acceptance, and stabilizing the innovation and generating self-renewal. The role of the change agent and the nature of the change agent's client system are emphasized. (Author/IRT)

****
* Documents acquired by ERIC include many informal unpublished *
* materials not available from other sources. ERIC makes every effort *
* to obtain the best copy available. Nevertheless, items of marginal *
* reproducibility are often encountered and this affects the quality *
* of the microfiche and hardcopy reproductions ERIC makes available *
* via the ERIC Document Reproduction Service (EDRS). EDRS is not *
* responsible for the quality of the original document. Reproductions *
* supplied by EDRS are the best that can be made from the original. *
****

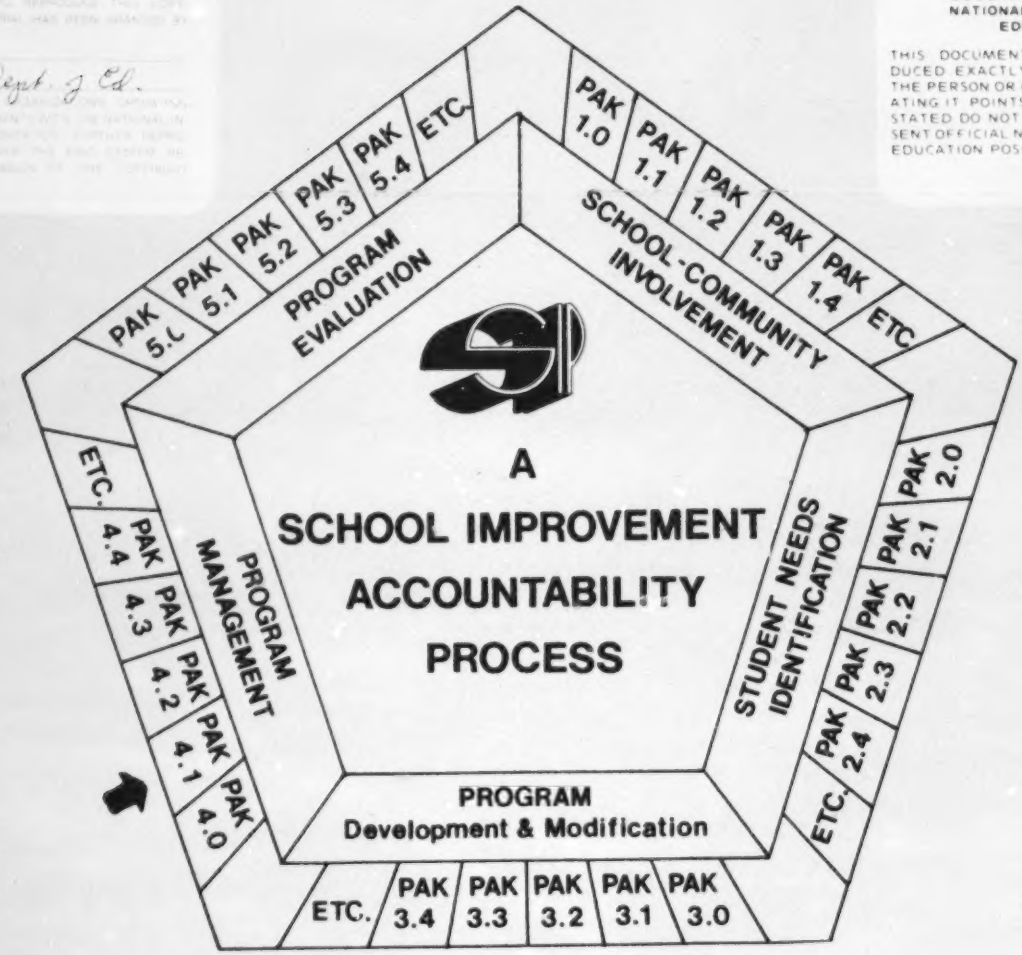
EA 014 917

A SCHOOL IMPROVEMENT - ACCOUNTABILITY PROCESS KIT

PAK #4.1 - UNDERSTANDING THE CHANGE PROCESS - STRATEGIES FOR MANAGING CHANGE

PERMISSION TO REPRODUCE THIS COPYRIGHTED MATERIAL HAS BEEN GRANTED BY
Colo. Dept. of Ed.
TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC) AND TO THE ORGANIZATION OPERATING UNDER AGREEMENTS WITH THE NATIONAL INSTITUTE OF EDUCATION. FURTHER REPRODUCTION OUTSIDE THE ERIC SYSTEM REQUIRES PERMISSION OF THE COPYRIGHT OWNER.

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
NATIONAL INSTITUTE OF EDUCATION
THIS DOCUMENT HAS BEEN REPRODUCED EXACTLY AS RECEIVED FROM THE PERSON OR ORGANIZATION ORIGINATING IT. POINTS OF VIEW OR OPINIONS STATED DO NOT NECESSARILY REPRESENT OFFICIAL NATIONAL INSTITUTE OF EDUCATION POSITION OR POLICY



Personalized Activity Kit (PAK) for use as:

- Individualized Study Guide
- Small Group Study Guide
- Workshop Facilitator's Guide

COLORADO DEPARTMENT OF EDUCATION

Calvin M. Frazier, Commissioner of Education

EA 009 731

COLORADO STATE BOARD OF EDUCATION

Robin Johnston, Chairman..... Denver
(First Congressional District)

Lewis E. Stieghorst, Vice-Chairman..... Littleton
(Second Congressional District)

Bill Graham..... Beulah
(Third Congressional District)

Allen B. Lamb..... Windsor
(Fourth Congressional District)

Betty Feilbert..... Aurora
(Fifth Congressional District)

PAK#4.1
#753, 23p, 200cc
May, 1975
Price: $1.50
No Charge to Colorado Public Schools

A SCHOOL IMPROVEMENT - ACCOUNTABILITY PROCESS KIT

PAK #4.1 - Understanding the Change Process - Strategies For Managing Change

---

DISTRICT PLANNING AND ACCOUNTABILITY SERVICES

Eugene R. Howard, Director

Joan Harrigan
Edwin Hildebrand
Warren FitzSimmons
Jerry Villars

OFFICE OF FIELD SERVICES

Stanley A. Leftwich, Assistant Commissioner

COLORADO DEPARTMENT OF EDUCATION
Calvin M. Frazier
Commissioner

Denver, Colorado
March 1975

Please note. . .

When you have completed this packet,
we would appreciate any recommendations
you may wish to make about improving
the content, activities, or format.

Copyright c 1975 by the Colorado Department of Education. All rights reserved. No part of this document may be reproduced in any form without permission in writing from the Colorado Department of Education, except that Colorado public school personnel may reproduce all or any portion of this document for use in their respective school districts and Boards of Cooperative Services.

DIRECTIONS FOR THE USE OF THE PAK

Each PAK is designed to be used in three alternative ways: 1) an individual user can work through the packet on his own; 2) a small group may work co-operatively; or, 3) a group of participants may be involved in a workshop situation under the leadership of a facilitator. Experience indicates that the latter is the most desirable situation. While an individual may work through the materials on his own, he misses those shared experiences which come as learners interact in a group situation.

PLEASE NOTE

Because this PAK will be used by many people in your district, please mark only the worksheets supplied by your instructor. Do not mark the pages of this PAK. Sample transparencies and worksheets (for duplication) are included in Appendices A and B.

If you are using PAK materials in a group workshop situation, consult Appendix A for detailed instructions. The diagram on the cover page and diagrams for Appendix A may be used to make overhead transparencies.

If you are working through the PAK individually, follow the general directions listed below:

- Read content of the PAK.
- Refer to Appendix A, Page 2, for additional instructions.
- Do the activities on worksheets copied from Appendix B.
- Read the bibliography (when included).

UNDERSTANDING THE CHANGE PROCESS — STRATEGIES FOR MANAGING CHANGE

What is change?

For years, the Denver Post has printed in every issue the statement: "There is no hope for the satisfied man." This statement really contains the kernel of the whole idea of change. Before we explore this concept, let us look first at definitions of basic terms:

1. *Change:* *Random, spontaneous process which evolves without deliberate effort. The results can be either good or bad.*
2. *Planned Change:* *Change occurring through a conscious, deliberate management of the change process, to develop acceptance by those concerned and result in benefit to those involved.*
3. *Innovation:* *Any change which represents something new to the people involved.*
4. *Change Process:* *How change comes about.*
5. *Agent of Change:* *Person(s) who facilitates planned change.*
6. *Client System:* *A group which the agent of change chooses to serve.*
7. *Resources:* *Persons or things which can be used to improve the process. Resources are available both inside and outside the client system.*

The process of change begins with a feeling of dissatisfaction, an initial disturbance or crisis (often called a state of disequilibrium). This disturbance can come either from within or from outside an organization. Public clamor for educational accountability has produced an initial disturbance or state of disequilibrium in our educational system.

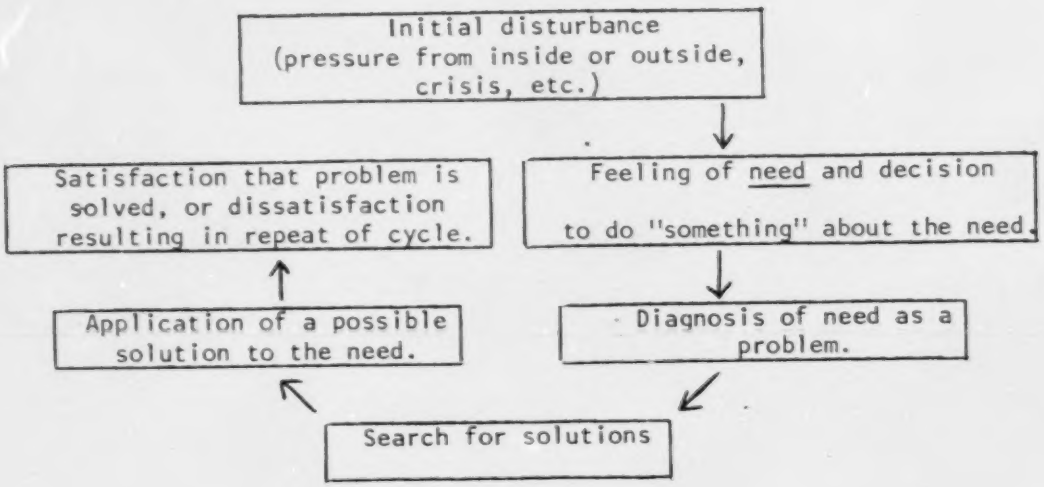
What happens next is most important. There are two alternatives:

Educators can sit back, can wait to react, ... and have to live with whatever happens to them

or

Educators can act, can plan, and can become managers of planned change.

Most of us, undoubtedly, prefer the latter course of action. In diagram form, the change process looks like the diagram on the next page.

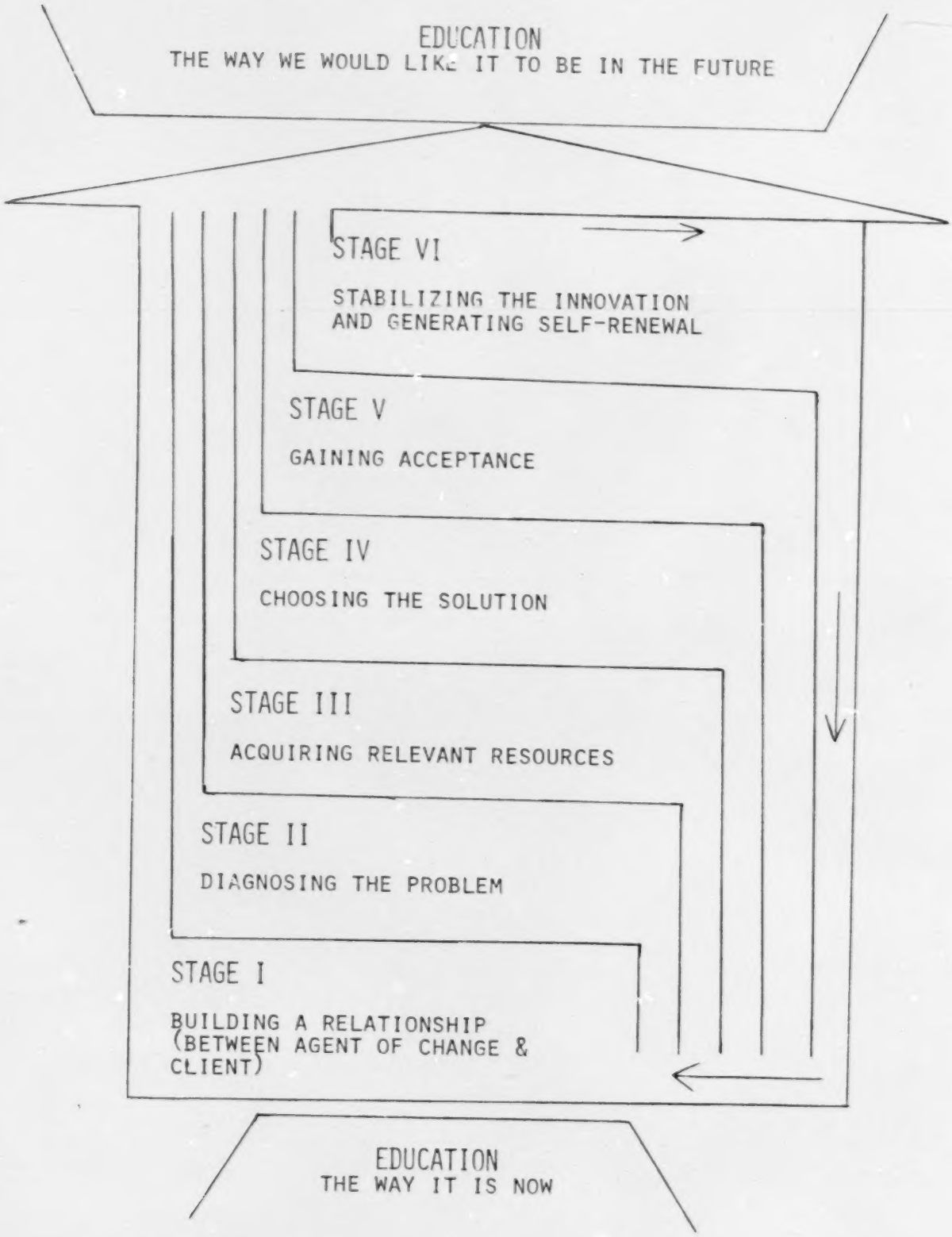

Initial disturbance
(pressure from inside or outside, crisis, etc.)
Feeling of need and decision to do "something" about the need.
Diagnosis of need as a problem.
Search for solutions
Application of a possible solution to the need.
Satisfaction that problem is solved, or dissatisfaction resulting in repeat of cycle.

After the initial disturbance, there occurs a feeling of need or concern and a decision is made to do something about that concern. Once the rather vague concern has been precisely stated as a need or a problem, we are ready to look for a variety of solutions.

Now we are ready to select one solution and apply it to the problem. If we have chosen a good solution, then the problem is solved, and we return to a feeling of satisfaction or equilibrium. If, however, we have not chosen a good solution, the feeling of dissatisfaction or disequilibrium remains and we start the whole cycle over. This feeling of dissatisfaction may be the result of failure to do a good job of planning and/or managing.

The diagram on the following page shows what happens when change occurs. Ronald G. Havelock, in his GUIDE TO INNOVATION IN EDUCATION, suggests a procedure for managing planned change--taking education as it is now, to education as we would like it to be in the future.

HOW CAN WE MANAGE PLANNED CHANGE?



A PROCEDURE FOR MANAGING CHANGE

FIRST STAGE -- *Building a trust relationship between the client and the agent of change.*
Too often, this step is ignored, and this can result in problems later on. We tend to be task-oriented. Many people want to get right down to work before finding out whether or not they can work together effectively.

SECOND STAGE -- *Diagnosing the problem.*
Not only are many people task-oriented, but they are also solution-oriented. They want to move immediately to a solution. The job of the agent of change is to help the client define and analyze his own problem before looking at solutions.

THIRD STAGE -- *Acquiring relevant resources.*
Before choosing the best solution for the precisely defined problem, it is most important to look at all possible solutions. The job of the agent of change is to provide the client with as many resources as possible, both printed materials and people.

FOURTH STAGE -- *Choosing the solution.*
The client now has to make a choice from among the many possible solutions. This can be simplified by eliminating from the list of solutions those that are not practical. This leaves the client with a shorter list of good solutions to analyze. The job of the agent of change is to help the client set up standards (criteria) for rating each solution. It is important to remember that the best solution:

- *May not be workable because of constraints, such as time, revenues, staff, space.*
- *May not be the cheapest one.*
- *May consist of a combination or mix of good solutions.*
- *The nature of the proposed solution is an important consideration. There is a range of difficulty in getting solutions implemented. Some require:*

    1. Curricular change (easiest)
    2. Organizational change (difficult)
    3. Attitudinal change (difficult)
    4. Complete change (all or any combination of 2, 3, and 4 -- most difficult)

FIFTH STAGE -- *Gaining acceptance.*
Getting the people within the client system to accept the chosen solution is vital to putting it into action. The involvement of many people all through these stages is one strategy. Another will be discussed further on.

SIXTH STAGE -- *Stabilizing the Innovation and Generating Self-Renewal. Once the solution has been put into action and "de-bugged," it gradually becomes a part of the regular program. It is no longer a new program. The involvement of many people is also important in this stage. If one person becomes identified with the change, then it is apt to disappear if that person leaves. Involving many people makes it <u>their</u> program, and it will be continued.*

Self-renewal means that the agent of change has taught his client a procedure for solving his own problems. The client can now apply this procedure to other problems. One pitfall the agent must avoid is the development of a dependency relationship with the client. The successful agent of change actually works himself out of a job.

<u>What is the role of the agent of change in the change process</u>?

In the diagram on Page 7, the large, center circle represents the client system. Notice the change cycle within the client system circle. The four outer circles show, in graphic form, how each of the four styles of agents of change relate to the client system.

Change in a particular client system is seen as a step-by-step problem solving process, starting with a disturbance (concern or felt need) and concluding with the resolution of that disturbance. The nature of the agent of change is of utmost importance. The local school leader can be:

convinced

persuaded

influenced

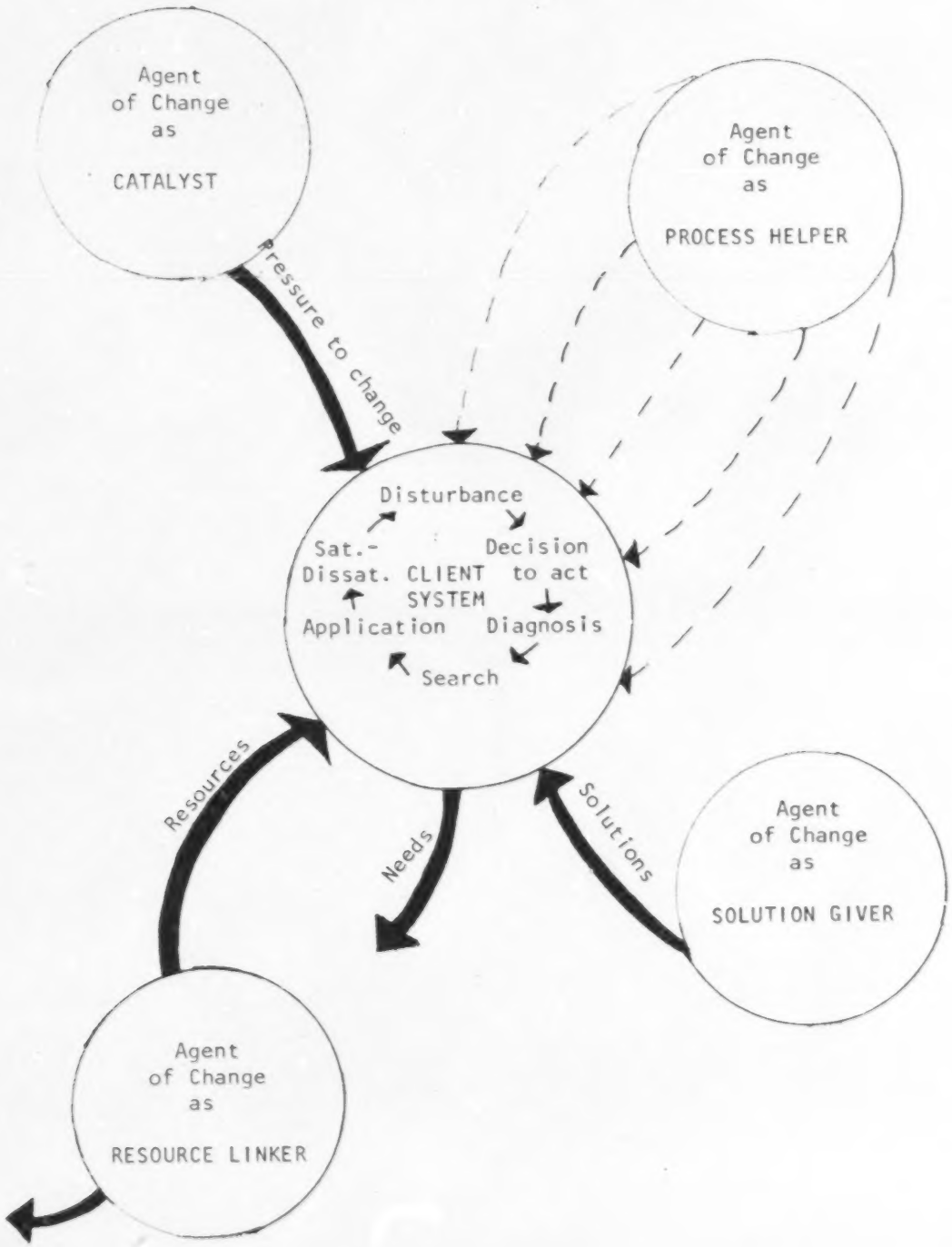
compelled

The "ideal" leader needs none of these. He/she is self-propelled. Regardless of his/her formal job title and position, there are four primary ways in which a person can act as an agent of change.

CATALYST: *This is the person or group who makes others aware of a need or who may even create the initial disturbance, or who may ask the "tough" questions which reveal the felt need or concern.*

SOLUTION GIVER: *This is the person who has a ready solution, even though he has not taken the time to identify and define the real problem. <u>He does not allow his client to help himself</u>. He has his own agenda that he tries to impose upon his client.*

FOUR WAYS TO BE AN AGENT OF CHANGE



* Excerpted from Ronald G. Havelock, GUIDE TO INNOVATION IN EDUCATION, Educational Technology Publications, Inc., 1972.

PROCESS HELPER: *This is the person who knows how to identify problems. He helps his clients help themselves. His major function is to help the group learn the problem-solving process so that they can begin to work independently of the agent of change.*

LINKER: *This is the person who possesses the traits of the process helper, but is also a veritable fountain of resource information which will help his clients solve their own problems. He provides maintenance help to the group once the process has been successfully installed.*

Of the four kinds of change agents, the process helper and linker are considered the most effective styles for general usage. It is these two styles which will be dealt with in this series of PAKs. At times, however, the agent of change will find it necessary to use a combination of any or all of these styles.

How does the agent of change work with his client?

The agent of change must keep at least one step ahead of the client. Once he/she has developed a trust relationship and helped the client become aware of needs, then he/she must be ready to answer the questions that will arise as awareness increases. Next he/she must be ready to help the client define the problem, generate alternative solutions and set up standards (criteria) for choosing the solution. If the client system is large enough to pilot test the chosen solution, the agent of change may have to provide training prior to the actual test. Assuming the test is successful, the client will need help in gaining acceptance by his many publics so that the new solution can be put into action. Once this has happened, the agent of change occasionally provides encouragement and help if the procedure breaks down.

Timing is all-important. Avoid the pitfall of trying to change too much too fast. Be very sensitive to your client's readiness to move through these steps. Let them set the pace, but keep them moving. Another pitfall to avoid involves "ownership" of the innovation. If the new idea becomes identified with one person, then the innovation will probably leave when that person leaves. On the other hand, if many people have been involved, then it becomes "their" plan and will probably be continued.

The diagram on Page 9 illustrates the working relationship between the agent of change and the client system.

"THE INSIDER" AS AN AGENT OF CHANGE WITHIN THE CLIENT SYSTEM

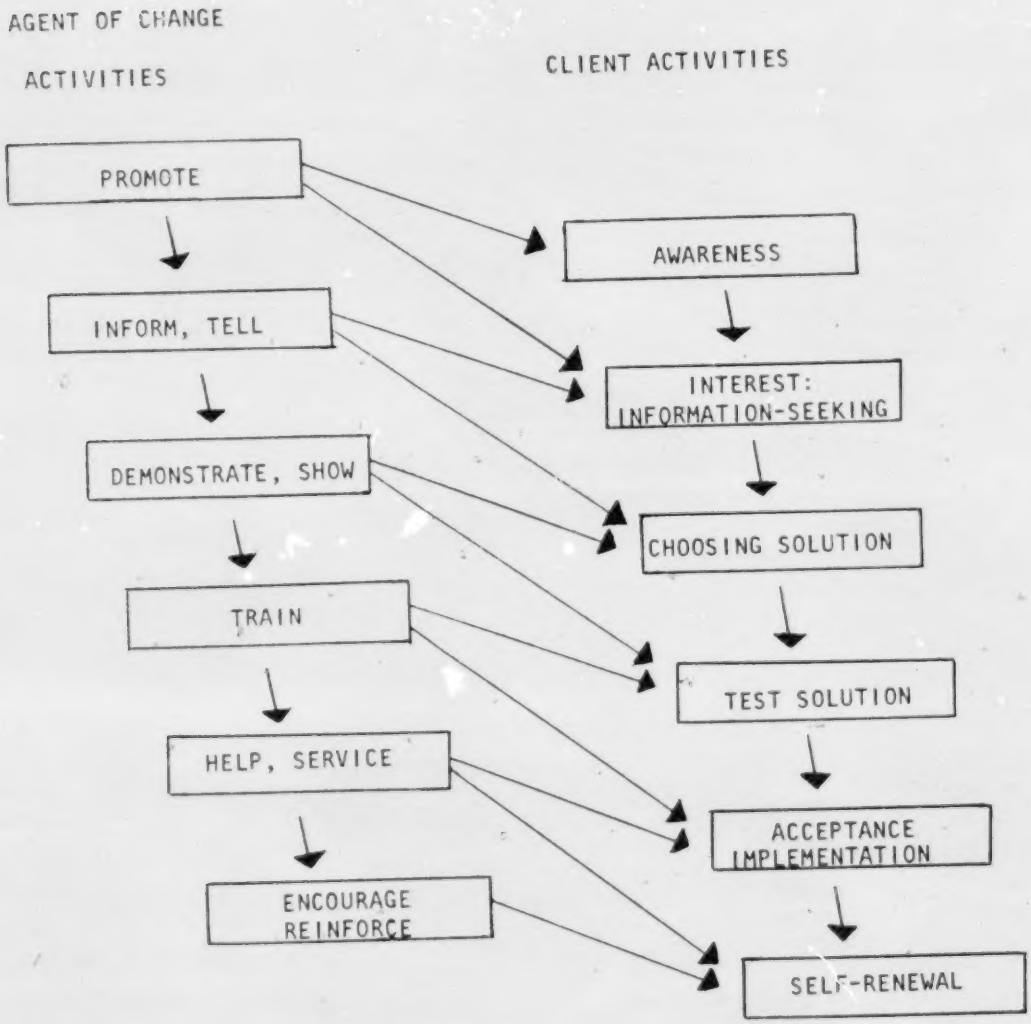
Advantages of the insider are he/she:

- *knows the system and where the power is*
- *speaks the language*
- *Understands commonly held beliefs, attitudes, behaviors expected*

PAK #4.1

COORDINATING AGENT OF CHANGE ACTIVITIES

WITH THE CLIENT'S ADOPTION ACTIVITIES



- *Identifies with the system's needs and aspirations, creating personal incentive*
- *Is a familiar figure and, therefore, does not pose a threat for anyone*

Disadvantages of the insider are he/she:

- *May lack perspective*
- *May not have the special knowledge or skills related to the chosen solution*
- *May not have an adequate power base*
- *May have to live down past failures*
- *May not have independence of movement*
- *Must redefine his ongoing relationships with other members of the system*

"THE OUTSIDER" AS AN AGENT OF CHANGE WITHIN THE CLIENT SYSTEM

Agents of change can also come from outside the client system.

Advantages of the outsider are he/she:

- *Starts fresh, has no negative stereotypes*
- *Is in a position to have perspective*
- *Is independent of the power structure*
- *Is in a position to bring in something genuinely new*

Disadvantages of the outsider are he/she:

- *Is a stranger, represents a potential threat, unless a trust relationship is built first*
- *May not understand the system, its language, behavorial expectations or values*
- *May not "care enough," cannot identify with needs of the client*

Probably the best alternative, is "The Inside-Outside Team." This approach allows the team to build upon the advantages and avoid most of the disadvantages of the agent of change who works alone.

Knowing the Power Structure of the Client System

In order to gain acceptance of a new program, it is extremely important to know the power structure of the client system. It is also important to know there are two kinds of leadership. There is formal leadership, due to the status of the position a person holds. There is also informal leadership accorded to persons by their peers because of respect for their abilities. The new manager knows when to use the appropriate leadership channel for communication, input, feedback and gaining acceptance of new ideas. Who are the most powerful and influential people in the school and the community? How do they react to new ideas (conservative or progressive)? How can they be approached and influenced to endorse new ideas?

The following definitions are suggested as a guideline for answering the above questions:

OPINION LEADERS-- *those persons who tend to control the wealth and power, who have a large group of followers who wait to hear what these leaders' views are. Often these people are not visible within the system. They tend to influence the next group.*

LEGITIMATORS-- *those persons who make the majority feel that the new idea is all right and should be given a try (can work in reverse, too). These people are usually the ones who are heads of various school/community organizations.*

FACILITATORS-- *those persons who make it easier to be an innovator by rewarding innovators and encouraging others to do so, getting clearance, providing funds and released time.*

GATEKEEPERS-- *those persons who open up (or close off) access to needed resources and decision-makers. These people are usually not the top people in the system. (For example, a secretary can be a gatekeeper for the superintendent.)*

If the team has done its homework well (preferably early in the change procedure), then a stepping-stone strategy can be used to gain acceptance of new ideas. There are four stepping-stones involved:

First: *The team identifies the innovators, the progressives.*

Second: *Working with the innovators, the team then identifies the resisters, the conservatives who wish to maintain the status quo.*

Third: *Working with both the innovators and the resisters, the team identifies the leaders within both groups.*

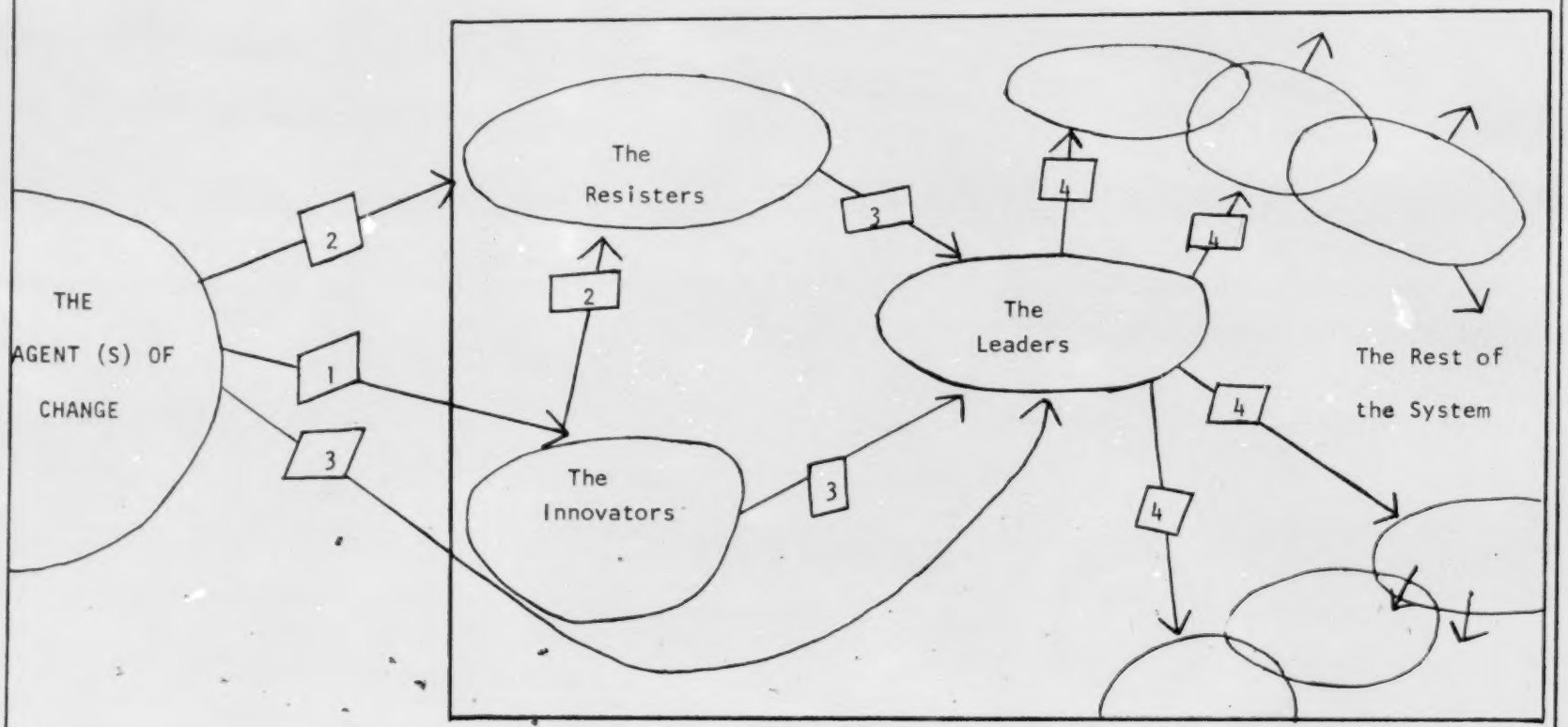
Fourth: *The leaders then spread the new idea throughout the system to other groups.*

But, one may ask--What about the resisters and their leaders who continue to resist? Havelock suggests there are some very important reasons for working with the resisters. The reasons are:

- *The team and the innovators may change the minds of resisters as they work together. If the resisters help develop the plan, they will find it very difficult to be overly critical of something they have helped produce.*

- *The team and the innovators at least know the position of the resisters and their reasons. If this is known, strategies can be worked out to neutralize the effect of the resisters.*

The diagram on Page 13 represents this strategy. Follow the square, numbered boxes. The numbers correspond to the four steps given previously.



STEPPING-STONE STRATEGY

How do people react to planned change?

As a generality, the degree of change the person will undergo depends upon the degree the person trusts the motives of the person or persons attempting to induce change.

When Will a Person Change?

- When he understands the reason for change and has participated in the decision to change.
- When he helps design the change.
- When he sees others change--especially those he respects.
- When he has or can acquire the competencies, knowledge, or skills required by the change.
- When he can influence the person or persons who are trying to influence him.
- When he sees that the change has been successful.
- When he can help create a climate that is supportive of change.

What Conditions Assist Change?

- When there is a need for change.
- When the environment is free of threats and invites a certain amount of risk.
- When consideration of change does not invite punitive judgments.
- When the environment tends to accept the change and support it once the change is made.
- When there is a public commitment for change.
- When it is tempting, easy, and perhaps fun to suggest changes for others.

When Will the Person Resist Change?

- When he does not help design the change.
- When he feels the change imposes upon him.
- When those he trusts resist the change.
- When he knows he does not have the skills demanded by the change, or cannot acquire them.
- When he does not participate in the implementation of the change.
- When he does not receive recognition for the changes he has made.
- When he will not involve himself deeper than just knowing about it.
- When he does not see the change as his.
- When he cannot advocate or defend the change.

How do we put it all together?

TASK STEPS

Identify Needs and Problem Areas - Analyze symptoms; diagnose basic problem

PROCESS STEPS

Pre-planning for management team-building; conduct an open, widely shared information gathering process

- Interviews
- Questionnaires
- Group Meetings
- Needs Analysis

Refinement of Goals

- Develop written goal(s) and objectives, statement(s) for planned organization change

Management Team Building

- Feed information to management team
- Build trust and problem-solving attitudes and skills
- Develop open consensus on problem and on district-wide goals for planned organization (See Series #1 PAKs)

Change Strategy and Setting Objectives

- Select a planned change strategy and identify major action steps and objectives

Management Team Planning

- Open consideration of alternative planned change strategies
- Planning main action steps, objectives role descriptions, personal time plans and evaluation criteria
- Include deadlines for each major step

Implementation

- Develop plans and implement change strategies

Organization-wide Team Building

- Provide other levels of organization with report on problem analysis and a tentative statement of overall goals, strategy and objectives for planned organization change. Obtain feedback and revise report.
- Involve work teams in developing school goals, objectives, action steps, role descriptions, calendar, evaluation criteria and resource requirements for implementing district goals and objectives. Plans presented to management team by person in charge.

TASK STEPS

Support and Resources

° Obtain support and resources from board and community for implementing program of planned change

Feedback System

° Establish a two-way management information system for monitoring progress and adjusting the program to fit unanticipated situations

PROCESS STEPS

Gaining Acceptance of Plan

° Planned change proposal submitted to board and influential community members by superintendent. Report to the public and the local accountability committee.

Management Team Coordinators

° Feedback occurs through reports and problem-solving requests by designated representatives at each level to the management team.

Selected Bibliography

Bennis, Warren G., Kenneth D. Benne and Robert Chin, editors. The Planning of Change, 2nd. ed. New York: Holt, Rinehart and Winston, Inc., 1969.

Havelock, Ronald G. A Guide to Innovation in Education
Ann Arbor, Michigan: Institute for Social Research,
University of Michigan, 1970 (Includes an extensive bibliography).

Havelock, Ronald G. Training for Change Agents
Ann Arbor, Michigan: Institute for Social Research,
University of Michigan, 1971.

Maguire, Louis M. Sanford Temkin and C. Peter Cummings An Annotated Bibliography on administering for change.
Philadelphia: Research for Better Schools, Inc., 1700 Market Street, 1971.

Rogers, Everett M. and Lynne Svenning Managing Change
San Mateo County, California County Superintendent, 1969 (Operation PEP).

APPENDIX B

Activity 1

Identify a major change that has taken place recently in your school building or district. On a separate sheet of paper, answer the following questions.

What was the source of the pressure for that change?

When and who made the decision to change?

How was the real problem defined? Who participated in this procedure?

What alternative solutions were considered?

Which solution was implemented?

Did it solve the problem? If not, what happened next?

PAK #
(Please fill in number)

PAK CRITIQUE FORM

Please give your assessment and comments on the following:

PROGRAM ELEMENT	OUT-STANDING	VERY GOOD	FAIR	POOR	VERY POOR	COMMENTS
1. The quality & relevance of the subject matter.						
2. The appropriateness and usefulness of the instructional materials						
3. The timing or sequencing of the various items presented.						
4. The directing and assistance given on the exercise.						

Other comments or suggestions for improving this PAK:

If this PAK was used as part of a WORKSHOP training session, then please also complete the following:

PROGRAM ELEMENT	OUT-STANDING	VERY GOOD	FAIR	POOR	VERY POOR	COMMENTS
5. The deployment, grouping or planned interaction of the participants.						
6. The productivity and/or usefulness of the individual work session(s).						
7. The comments or assistance given to you on your selected problem.						